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PTO/SB/05 (11-00)
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Attorney Docket No. 393032001901

First Inventor Hideo SUZUKI

Title MUSICAL TONE-GENERATING METHOD

Express Mail Label No. EL824966846US

Only for new nonprovisional applications under 37 CFR 1.53(b))

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

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Date of Deposit: November 30, 2001

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Marco Jimenez

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)

- Detailed Description
- Claim(s)

- Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 17]
5. Oath or Declaration [Total Pages 1]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ copy of executed Assignment from prior application (the prior application is assigned to Yamaha Corporation, recorded in the prior application on 11/25/97, Reel/Frame: 8847/0958)
10. ☐ 37 CFR 3.73(b) Statement [] Power of Attorney
(where there is an assignee)
11. ☐ English Translation document (if applicable)
12. ☒ Information Disclosure Statement [X] Copies of IDS
(IDS)/PTO-1449 Citations: 14
13. ☒ Preliminary Amendment (12 pp), and two sheets of corrected drawings
14. ☒ Return Receipt Postcard (MPEP 503)
Should be specifically itemized
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other Change of Correspondence and Associate Power

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 08/977,727 filed November 25, 1997

Prior application information:

Examiner: Marion T. Fletcher

Group / Art Unit: 2837

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. The power of Attorney appointing David L. Fehrman, Reg. No. 28,600 appears in the original papers of the prior application. Please address all correspondence for this application to the address as given below.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

or ☐ Correspondence address below



25224

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

Name	David L. Fehrman				
Address	Morrison & Foerster				
	555 W. 5th Street, 35th Floor				
City	Los Angeles	State	CA	Zip Code	90013
Country	US	Telephone	(213) 892-5601	Fax	(213) 892-5454

Name (Print/Type)	Mehran Arjomand	Registration No. (Attorney/Agent)	48,231
Signature			Date November 30, 2001

la-533709

FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	Not yet assigned
Filing Date	Concurrently herewith
First Named Inventor	Hideo SUZUKI
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	393032001901

TOTAL AMOUNT OF PAYMENT

(\$992.00)

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-1952
Deposit Account Name: Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$740.00)

2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
Total Claims	11	-20** = 0	x 18 = \$0	
Independent Claims	6	-3** = 3	x 84 = \$252	
Multiple Dependent			280 = \$0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claims, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$252.00)

** or number previously paid, if greater; For reissues, see above.

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$0)

SUBMITTED BY

Name (Print/Type)

Mehran Arjomand

Registration No.
(Attorney/Agent)

48,231

Complete (if applicable)

Telephone

(213) 892-5630

Signature

Date

November 30, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

U.S. PATENT AND TRADEMARK OFFICE

Form PTO-1595
1-31-92U.S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeRECORDATION FORM COVER SHEET
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying parties: Hideo SUZUKI;
Masao SAKAMA; and Yoshimasa ISOZAKI

2. Name and address of receiving party(ies):

Name: YAMAHA CORPORATION

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Name of Conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ OtherStreet Address: 10-1, Nakazawa-cho
Hamamatsu-shi, Shizuoka-ken, Japan

City State ZIP

Execution Date: November 14, 1997

Additional name(s) & address(es) attached? ☐ yes ☒ no

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: November 14, 1997

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ yes ☐ no5. Name and address of party to whom correspondence
concerning document should be mailed:Name: David L. Fehrman, Esq.
Internal Address: GRAHAM & JAMES LLPStreet Address: 801 S. Figueroa St., 14th Flr.
City: Los Angeles State: CA ZIP 90017-5554

6. Total number of applications and patents involved: ONE

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian M. Berliner
Name of Person Signing

Signature

November 25, 1997
Date

Total number of pages comprising cover sheet, attachments and document: 2

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignment
Washington, D.C. 20231